

Guidelines for the Development of Agency SWAM Procurement Plans

The Department of Minority Business Enterprise (DMBE) has developed the following guidelines to assist heads of state agencies and institutions in the development of agency/institution SWAM Procurement Plans.

The guidelines offer a format that agencies may use to chart the participation of small businesses and businesses owned by women and minorities in the agency's procurement program. It discusses available options and strategies to promote minority and women business participation in the Commonwealth's purchasing programs.

The guidelines are intended to serve as a tool for plan development and provide general information and direction in the implementation of the SWAM Program. As each agency/institution must tailor its Plan to its individual needs and procurement circumstances, plans of the agencies and institutions will vary. The Department of Minority Business Enterprise is available, upon request, to provide assistance to agencies and institutions in plan development and program implementation.

DMBE is working with VITA to have agency/institution plans available on the DMBE web site along with the names, phone numbers, and email addresses of agency/institution Procurement Champions. In addition, plans are underway to electronically generate agency/institution Quarterly Reports using CARS data.

Agency SWAM Procurement Plans

Agency Plans. Each agency and institution of the Commonwealth shall adopt an annual SWAM Procurement Plan that will specify that agency's or institution's plans and goals for SWAM procurement. **Each agency's initial SWAM Procurement Plan shall be completed by September 1, 2004, if possible, but in any event by October 1, 2004,** and shall be developed in accordance with the guidelines developed and distributed by DMBE. Because of differences in the available vendors and goods and services purchased by various agencies and institutions, it is anticipated that each agency's and institution's SWAM Procurement Plan will vary according to that agency's or institution's particular procurement circumstances. Some agency plans will call for SWAM procurement at levels below the statewide aspirational goals, and some will call for procurement at levels above the statewide aspirational goals. One size will not fit all. However, collectively, the SWAM Procurement Plans adopted by agency's and institutions shall include SWAM procurement levels that, if achieved, at least equal the statewide aspirational goals set forth above. Where requested, DMBE will consult with agencies so that the agencies are better able to prepare their SWAM Procurement Plans. Where applicable and verifiable, "second tier" SWAM participation should be considered by agencies and institutions in preparing their agency plans.

A. **Components of Agency Plan** – We recommend that each SWAM Procurement Plan of state agencies and institutions include a/an:

1. Designation of Diversity Champion – List the name, title, address, email, and telephone number of the person responsible for the creation of this plan. This person should have firsthand knowledge of state agency/institution’s procurement needs, is primary designee to handle SWAM purchasing, and is responsible for completion or review of the SWAM quarterly reports.

2. Analysis of the Purchasing Process – Outline the purchasing process as it would be explained to vendors seeking to do business with your agency. In this section explain how the agency does purchasing and what steps a vendor should take to do business with the agency. In many cases, eVA will be the principal method for agency purchasing. If there is a special procedure for WBE/MBE vendors, please submit a copy of the special procedure or program. Include any brochure, special invitations to bid, etc.

3. SWAM Business Outreach – Describe how the agency fosters and supports the SWAM program. Describe in detail how your agency encourages, contacts, and supports SWAM vendors. List any special programs your agency has developed to attract and utilize SWAM vendors. Explain how the agency is going to promote networking among women and minority business owners. Examples are Job Fairs, Newsletters, Handouts, Trade Shows, Newspaper Ads, etc.

4. Utilization of Race and Gender-Neutral Options – Describe race and gender-neutral options used by the agency to facilitate minority and women business participation. A listing and detailed description of available options are attached as **Appendix A**.

5. Utilization of Race and Gender-Oriented Options – Describe race and gender-oriented options used by the agency to facilitate minority and women business participation. Section 2.2-4343 A.19 of the Code of Virginia, exempts purchases made under a remediation plan from certain provisions of the State Procurement Law.

6. Internal Monitoring Mechanism – List processes and procedures for monitoring the agency’s SWAM purchases to determine if agency is meeting its SWAM aspirational goals. Specifically, address the following:

- a. name of person responsible for monitoring agency SWAM compliance;
- b. specific points in the internal purchasing process where review for SWAM procurement is determined;
- c. process for reviewing purchases in all agency facilities or districts;

7. Projected SWAM Business Purchases – Where possible, list

projected SWAM aspirational goals along with dollar value for the following purchasing categories: Construction Prime Contracts, A&E and Professional Services Prime Contracts, Other Services – Prime Contracts, and Goods and Supplies; and

8. Projected “Second Tier” SWAM Participation – List, where verifiable, Second Tier /subcontracting aspirational goals along with dollar value assured by contract or other firm arrangement. Provide separate goals and dollar values for small, women, and minority-owned firms.

B. **Plan Submittal** – Each agency and institution’s initial SWAM Procurement Plan shall be submitted to the appropriate Secretariat and DMBE by September 1, 2004 where possible, and no later than October 1, 2004.

C. **Publication of Results** – Beginning with the 4th Quarter FY04 report, the quarterly SWAM Reports shall be made electronically and publicly available on the DMBE website, delineated by Secretariat and by agency and institution.

